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PATENT TRADEMARK OFFICE

PATENT

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Continuation Patent Application Of:)
Kenneth Kiron and Kevin S. Bander)

) Group Art Unit: 2761

Application No.: 09/579,801)

Confirmation No.: 8044)

Filed: May 26, 2000)

For: Open End Mutual Fund Securitization Process)

Box Patent Application

Fee

Commissioner For Patents

Washington, D.C. 20231

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T.D.
12/14/01

SECOND PRELIMINARY AMENDMENT

Dear Sir:

Before examination, please amend the instant Application as follows.

In the Claims:

Please cancel Claims 8, 52 and 54-74 without prejudice.

Please replace claim 53 with the following corresponding amended claim:

53. (Amended) A method comprising the steps of:

identifying a group of securities;

separating the group of securities into a sector comprising a subset of the group of securities

within a substantially similar industry;

creating an open end fund having a number of outstanding shares and comprising of the securities within the sector;

changing the securities comprising the sector;

changing the securities comprising the fund in response to the changing of the securities comprising the sector;

trading the outstanding shares of the fund on an exchange at a real time determined price related to the securities comprising the sector; and

outputting an indication of the real time determined price in a humanly readable format.

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